



## **Department of Business Regulation**

233 Richmond Street  
Providence, RI 02903

# **Securities Bulletin Number 2003-1**

## **Investment Adviser Representative Registration**

Effective November 1, 2003, the Department of Business Regulation will require all applications for initial and renewal registration for investment adviser representatives to be made by filing Form U-4 with the Central Registration Depository (the "CRD"). Since all registrations expire on December 31 annually the Securities Division encourages all applicants to file as soon as possible to avoid possible unlicensed activity.

Marilyn Shannon McConaghy  
Director  
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